

# POSITION DESCRIPTION (Please Read Instructions on the Back)

Agency Position No. **05-302-72-A**  
 AS-05-31

<b>3. Reason for Submission</b> <input type="checkbox"/> Replacement <input checked="" type="checkbox"/> New <input type="checkbox"/> Higher <input checked="" type="checkbox"/> Field <input type="checkbox"/> Reestablishment <input type="checkbox"/> Other Explanation (Show any positions replaced)		<b>4. Employing Office Location</b> Chicago IL		<b>5. Duty Station</b> Chicago IL	
<b>7. Fair Labor Standards Act</b> <input checked="" type="checkbox"/> Exempt <input type="checkbox"/> Nonexempt		<b>8. Financial Statement Request</b> <input type="checkbox"/> Estimated Personnel <input type="checkbox"/> Deployment and Financial Impact		<b>9. Subject to IA Action</b> <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
<b>10. Position Status</b> <input checked="" type="checkbox"/> Competitive <input type="checkbox"/> Excepted (Specify in Remarks) <input type="checkbox"/> SES (Gen.) <input type="checkbox"/> SES (CFO)		<b>11. Position Is</b> <input type="checkbox"/> Supervisory <input type="checkbox"/> Managerial <input checked="" type="checkbox"/> Professional		<b>12. Sensitivity</b> <input checked="" type="checkbox"/> 1-High <input type="checkbox"/> 2-Moderate <input type="checkbox"/> 3-Critical	
		<input type="checkbox"/> 2-Moderate <input type="checkbox"/> 3-Critical		<b>13. Competitive Level Code</b> 001	
		<input type="checkbox"/> 2-Moderate <input type="checkbox"/> 3-Critical		<b>14. Agency Use</b> 0011	

<b>15. Classified/Classified by</b> Official Title of Position		<b>Pay Plan</b> GS		<b>Occupational Code</b> 342		<b>Grade</b> 12		<b>Initials</b> [Signature]		<b>Date</b> 3/2/09	
<b>a. Office of Personnel Management</b>											
<b>b. Department, Agency, or Establishment</b> Records Management Specialist											
<b>c. Second Level Reviewer</b>											
<b>d. First Level Reviewer</b>											
<b>e. Recommended by Supervisor or Initiating Office</b> Records Management Specialist											

<b>16. Organizational Title of Position (if different from official title)</b> Technical Records Manager		<b>17. Name of Employee (if recent, specify)</b> Julie Spellman (10/1/09)	
<b>18. Department, Agency, or Establishment</b> U.S. Environmental Protection Agency		<b>c. Third Subdivision</b>	
<b>a. First Subdivision</b> Air and Radiation Division		<b>d. Fourth Subdivision</b>	
<b>b. Second Subdivision</b> Air Enforcement and Compliance Assur. Br		<b>e. Fifth Subdivision</b> 90556101	

**19. Employee Review**-This is an accurate description of the major duties and responsibilities of my position.

**20. Supervisory Certification**. I certify that this is an accurate statement of the major duties and responsibilities of this position and its organizational relationship, and that the position is necessary to carry out Government functions for which I am responsible. This certification is made with the understanding that:

a. Typed Name and Title of Immediate Supervisor:  
 George Czerniak, Chief

AECAS

Signature: [Signature] Date: 3/10/09

This information is to be used for statutory purposes relating to appointment and payment of public funds, and that false or misleading statements may constitute violations of such statutes or their implementing regulations.

b. Typed Name and Title of Higher-Level Supervisor or Manager (optional):  
 Cheryl E. Newton, Director  
 Air and Radiation Division

Signature: [Signature] Date: 3/2/09

**21. Classification and Grading Certification**. I certify that this position has been classified/graded as required by Title 5, U.S. Code, in accordance with standards published by the U.S. Office of Personnel Management or, if no published standards apply directly, consistently with the most applicable published standards.

Type Name and Title of Official Taking Action

Signature: [Signature] Date: 3/2/09  
 B. Hernandez, HR Classification

**22. Personnel Classification Standards Used in Classifying/Grading Position**

OPM PCS 65-342

Information for Employees. The standards, and information on their application, are available in the personnel office. The classification of the position may be reviewed and corrected by the agency or the U.S. Office of Personnel Management. Information on classification/job grading appeals, and complaints on exemption from FLSA, is available from the personnel office or the U.S. Office of Personnel Management.

<b>23. Position Review</b>		<b>Initials</b>		<b>Date</b>		<b>Initials</b>		<b>Date</b>		<b>Initials</b>		<b>Date</b>	
<b>a. Employee (optional)</b>													
<b>b. Supervisor</b>													
<b>c. Classifier</b>													

**24. Remarks**  
 This position has no further position potential.  
 [Signature]

**25. Description of Major Duties and Responsibilities (See Attached)**

## Instructions for Completing Optional Form 8 POSITION DESCRIPTION

In order to comply with the requirements of FPM Chapter 295, subchapter 3, and other provisions of the FPM, agencies must complete the items marked by an asterisk. Agencies may determine what other items are to be used.

- \*1. Enter position number used by the agency for control purposes. See FPM Chapter 312, Subchapter 3.

\*2. Check one.

- \* "Redescription" means the duties and/or responsibilities of an existing position are being changed.
- \* "New" means the position has not previously existed.
- \* "Reestablishment" means the position previously existed, but had been cancelled.
- \* "Other" covers such things as change in title or occupational series without a change in duties or responsibilities.
- \* The "Explanation" section should be used to show the reason if "Other" is checked, as well as any position(s) replaced by position number, title, pay plan, occupational code, and grade.

3. Check one.

- \*4. Enter geographical location by city and State (or if position is in a foreign country, by city and country).

- \*5. Enter geographical location, if different from that of #4.

6. To be completed by OPM when certifying positions. (See item 16 for date of OPM certification.) For SES and GS-15/16 positions and equivalent, show the position number used on OPM Form 1300 (e.g., OA280012).

- \*7. Check one to show whether the incumbent is exempt or nonexempt from the minimum wage and overtime provisions of the Fair Labor Standards Act. See FPM Chapter 551.

8. Check box if statement is required. See FPM Chapter 734 for the Executive Personnel Financial Disclosure Report, SF 27B. See FPM Chapter 736, Subchapter 4, for the Employment and Financial Interests Statement.

9. Check one to show whether identical Additional positions are permitted. See FPM Chapter 312, Subchapter 4. Agencies may show the number of such positions authorized and/or established after the "Yes" block.

10. Check one. See FPM Chapter 212 for information on the competitive service and FPM Chapter 213 for the excepted service. For a position in the excepted service, enter authority for the exception, e.g., "Schedule A-213;3102(a)" for Attorney positions excepted under Schedule A of the Civil Service Regulations. SES (Gen) stands for a General position in the Senior Executive Service, and SES (CR) stands for a Career Reserved position.

11. Check one.

- \* A "Supervisory" position is one that meets the requirements for a supervisory title as set forth in current OPM classification and job-grading guidance. Agencies may designate first-level supervisory positions by placing "1" or "1st" after "Supervisory."
- \* A "Managerial" position is one that meets the requirements for such a designation as set forth in current OPM classification guidance.

12. Check one to show whether the position is non-sensitive, noncritical sensitive, critical sensitive, or special sensitive for security purposes. If this is an ADP position, write the letter "C" beside the sensitivity.

13. Enter competitive level code for use in reduction-in-force actions. See FPM Chapter 351.

14. Agencies may use this block for any additional coding requirements.

\*15. Enter classification/job grading action.

- \* For "Official Title of Position," see the applicable classification or job grading standard. For positions not covered by a published standard, see the General Introduction to "Position Classification Standards," Section III, for GS positions, or FPM Supplement 512-1, "Job Grading System for Trades and Labor Occupations," Part I, Section II.
- \* For "Pay Plan Code," see FPM Supplement 292-1, "Personnel Data Standards," Book III.
- \* For "Occupational Code," see the applicable standard; or, where no standard has been published, see the "Handbook of Occupational Groups and Series of Classes" for GS positions, or FPM Supplement 512-1, Part 3, for trades and labor positions. For all positions in scientific and engineering occupations, enter the two-digit functional classification code in parentheses immediately following the occupational code, e.g., "GS-1310(14)." The codes are listed and discussed in the General Introduction to "Position Classification Standards," Section VI.

16. Enter the organizational, functional, or working title if it differs from the official title.

17. Enter the name of the incumbent. If there is no incumbent, enter "vacancy."

- \*18. Enter the organizational location of the position, starting with the name of the department or agency and working down from there.

19. If the position is occupied, have the incumbent read the attached description of duties and responsibilities. The employee's signature is optional.

- \*20. This statement normally should be certified by the immediate supervisor of the position. At its option, an agency may also have a higher-level supervisor or manager certify the statement.

- \*21. This statement should be certified by the agency official who makes the classification/job grading decision. Depending on agency regulations, this official may be a personnel office representative, or a manager or supervisor delegated classification/job grading authority.

22. Enter the position classification/job grading standard(s) used and the date of issuance, e.g., "MGS and FLS, GS-305, May 1977."

23. Agencies are encouraged to review periodically each established position to determine whether the position is still necessary and, if so, whether the position description is adequate and classification/job grading is proper. See FPM Letter 536-1 to be incorporated into FPM Chapter 536. This section may be used as part of the review process. The employee's initials are optional. The initials by the supervisor and classifier represent recertifications of the statements in items #20 and #21 respectively.

24. This section may be used by the agency for additional coding requirements or for any appropriate remarks.

- \*25. Type the description on plain bond paper and attach to the form. The agency position number should be shown on the attachment. See appropriate instructions for format of the description and for any requirements for evaluation documentation, e.g., "Instructions for the Factor Evaluation System," in the General Introduction to "Position Classification Standards," Section VII.

**RECORDS MANAGEMENT SPECIALIST, GS 342-12**  
**(Technical Records Manager)**

**INTRODUCTION**

The incumbent serves as the Technical Records Manager in the Air Enforcement and Compliance Assurance Branch of the Air and Radiation Division. The Technical Records Manager is responsible for management of all Branch program records. This includes compliance and enforcement technical and legal files and records, state oversight records, confidential information (CBI) records, and the management of electronic documents and records in keeping with the Agency's goal of a paperless office.

**Background:**

The Air Enforcement and Compliance Assurance Branch consists of an Immediate Branch Office and three Enforcement Sections, which deal with a very broad range of industrial sources and pollutants, initiate enforcement actions against violating sources, evaluate effective control programs to bring non-complying sources into compliance, and defend technical judgments in adversarial proceedings within the overall regulatory structure of the Clean Air Act (CAA) and the laws and regulations of the individual States. The Branch is also responsible for developing aggressive State and local air pollution enforcement programs and for integrating the efforts of the combined enforcement resources at all three levels of government (Federal, State, and local) to insure that air pollution sources comply with the requirements of the CAA. These responsibilities generate enormous amounts of records which are produced and received by the Branch and must be maintained according to Agency records policies.

The incumbent is responsible for the hard copy filing operations and the electronic document management operations of the Branch, which facilitates the management of and access to the facility records of the Branch's programs. The incumbent facilitates access to the capacity of more than 1,500 linear feet of facility files by technical staff, attorneys in the Office of Regional Council, EPA partners, and the public under the Freedom of Information Act. Records management is provided in keeping with established program requirements. The respective facility documents are maintained in a systematic manner as appropriate for the enforcement program activity. Records management activity of the Branch encompasses paper records and electronic documents associated with facilities regulated under the Clean Air Act and other Branch programs based on the recent Agency enacted Cross-Media Electronic Reporting and Record-keeping Rule (CROMERRR), which prescribes electronic document submission by the regulated community.

**MAJOR DUTIES AND RESPONSIBILITIES**

The incumbent of this position has responsibility for the Branch's records and information system, records, files and databases. The incumbent is responsible for coordinating records management activities with respect to records maintenance and use, inventory and database management, and records disposition. The incumbent is responsible for effective records and information management including systems for

filing, maintaining files, and retrieving files, maintaining and updating Branch records, records related to delegations of authorities, peer review records and maintenance; archiving files, records inventory development and maintenance; electronic records/comments; confidential business information and electronic records databases.

The incumbent is responsible for analyzing problems and issues involving developing and implementation of records management systems, file and records utilization procedures, and information processing methods and usage. The incumbent is a focal point with other staff in maintaining appropriate files and indexing systems necessary to store and retrieve documents and information in the Branch's programmatic and administrative records systems.

The incumbent is responsible for overall Branch records management including development of an inventory of Branch records and location and may take the lead in creating and maintaining an electronic database related to records and files inventory and location. Incumbent is repository for Agency, Division, and Branch policy and guidance regarding electronic records. Incumbent maintains and updates files regarding policy, guidance, directives and responsibilities related to electronic records.

The incumbent assists with the maintenance of a comprehensive records management program. The incumbent clarifies and evaluates problems and issues relating to the management and utilization of records and file information, information processing methods, and records management systems and procedures within the Branch. Defines implementation options and recommends solutions and new approaches relating to records and file management systems. The incumbent ensures that official records and files are archived according to Agency records schedules and Federal guidelines regarding retention of records and files and oversees archiving of records and files, providing advice and assistance to staff who are directly responsible for archiving of records and files. As assigned the employee develops planning procedures and strategies to anticipate and prepare for records systems' growth and information need of the Branch. Incumbent researches problems, and/or reviews issues raised concerning records and information systems and evaluates the need for additional information. Potential solutions or options are analyzed and presented for consideration to the involved parties.

As the focal point of coordination for all records management and information processing within the Branch, the incumbent works closely with program staff to analyze document processing, records retention, and CBI processes and procedures. Incumbent maintains appropriate files and indexing systems necessary to store and retrieve documents and information within Branch systems. Carries out special projects, as assigned, relating to records and documents, and information management issues.

As the Branch Technical Records Manager, the incumbent is responsible for records and file management, records retention, facility record maintenance, records consolidation, and implementation of the Agency's electronic records program in the Branch. The employee is responsible for establishing internal procedures, carrying out the records retirement process, and is involved in researching and processing FOIA requests.

The incumbent is responsible for maintaining records management databases as part of the overall management of Branch records which also involves safeguarding Confidential Business Information (CBI) and enforcement sensitive documents. The management of CBI records involves the retention and disposition of CBI documents in keeping with the regulations and Agency policies and guidance and requirements. Trains staff in respective records management tasks and responsibilities including CBI procedures, protocols and required CBI authorizations for viewing CBI material.

Maintains CAA facility files organized in accordance to the complex CAA regulations and multi-media functions. The facility documents are managed in accordance with Agency record management policies and procedures and Agency defined records retention and records retirement schedules. New records are catalogued in keeping with the Agency policy and Branch's standard file structure for the program facilities.

Maintains facility files in terms of cataloguing new documents, revising a facility file per changes in the Branch and/or Agency records retention schedules and/or other requirements for a particular program. Refines the record catalogue procedures in keeping with changes in the Agency, Division, or Branch programs and/or records management policies and procedures. Maintains electronic logs of files, active and retired.

Serves as Document Control Officer for the Branch documents protected under the Confidential Business Information (CBI). Works closely with the Division Document Control Officer with the check-in and/or out of CBI documents. Ensures all CBI documents and administrative work is carried out in keeping with the respective program's CBI procedures and protocols.

Identifies and carries out records retirement projects for all Branch records, i.e., facility related records, other records, state oversight records, etc. Identifies and prepares record retirement plans for implementation maintaining disposition of all record databases. Implements CROMERR and other Agency rules, policies, and guidance on managing electronic records. Carries out special projects. Reviews and recommends improvements to the Branch's electronic document management system, implementing procedures for handling electronic submissions from the regulated community, and/or converting facility files to electronic format in support of the Agency's Paperless Office. Works with the Branch and Section Chiefs and/or the Division records manager on planning and implementing record management pilot projects.

The incumbent is responsible for analyzing problems and issues involving development and implementation of records management systems, file and records utilization procedures, and information processing methods and usage. Incumbent researches problems, and/or reviews issues raised concerning records and information systems; clarifies issues; and evaluates the need for additional information.

Incumbent is responsible for ensuring that official records and files are archived

according to Agency records schedules and Federal guidelines regarding disposal of records. Incumbent develops plans and schedules for reviewing Agency, Division, or Branch records and files, the retention of Clean Air Act program records and files, and oversees the archiving process of records and files maintained by the Branch, providing advice and assistance to staff involved in the technical records/program files archiving and disposal process. Incumbent keeps the supervisor informed of schedule obstacles and/or when problems develop adversely impacting the effective and timely archiving process of Branch records and files recommending corrective action and follow-up planning.

Maintains user guides and procedures in support of the various records management responsibilities. Revises user guides, procedures and related documents as needed. Prepares briefings for management and technical staff on Agency, Division, and Branch records management policy, requirements, and procedures, as needed. Participates in Region 5 or national discussions regarding records management policy and procedures, as appropriate and funds are available.

Maintains an electronic library of enforcement document templates, ensuring templates are kept current with Branch and Division policy and procedural changes.

Arranges for or performs general maintenance on computerized equipment to ensure equipment is kept in working order.

Performs other duties as assigned.

#### **FACTOR 1: KNOWLEDGE REQUIRED BY THE POSITION**

Knowledge of records management processes, procedures and practices.

Knowledge of Agency records management, record retention, records archiving, and CBI procedures, processes and guidance.

Knowledge of the principles, practices and techniques of environmental protection to integrate records management systems with the goals and objectives of the Agency, Division and Branch's environmental plans.

Ability to plan, implement and manage a records management system including training users and records maintenance personnel, advising management, making decisions or recommendations on record management matters and evaluating effectiveness of records programs.

Skill in cataloging, filing and retrieving critical information. Ability to modify existing records. Knowledge of records retirement schedules and record keeping in accordance with Agency policies and procedures.

Knowledge of data management processing methods and procedures. Skill in computer applications for data processing/management and database tracking systems.

Knowledge of the basic principles, concepts and methods of records management and skill in applying this knowledge to carry out assignments. In addition, the incumbent will have substantial knowledge of the CBI program and its record management responsibilities and experience with implementing the CBI program.

Knowledge of the CAA enforcement programs.

Knowledge of CROMERR and other Agency rules, policies, and guidance on managing and implementing electronic records.

### **FACTOR 2: SUPERVISORY CONTROLS**

The incumbent works under the supervision of the Branch Chief who sets the overall objectives, priorities, and deadlines. Assignments may be coordinated with the Division's records manager. The incumbent sets his/her priorities and deadlines and carries out assignments independently. The employee independently plans and manages the work to be done, coordinates with the appropriate Region 5 staff, and carries out assignments through to completion. The completed work is generally accepted as technically accurate subject to review for achievement of objectives, conformance to policy and compatibility with the work of other functional elements of the organization.

Assignments are in terms of complete projects or portions of more complex records management projects, together with operational requirements, priorities and deadlines. Incumbent advises supervisor when schedule obstacles and/or problems arise impacting the timely archiving of records and files to allow for corrective action.

### **FACTOR 3: GUIDELINES**

Guidelines, procedures and policies are available in Federal and EPA rules, regulations, and guidance documents as well as Division and Branch guidance and procedures on records management. The incumbent is expected to be thoroughly familiar with such guidelines, able to interpret them, and apply them to new situations. From time to time, the incumbent may be required to revise procedures and approaches to meet assignment requirements. Substantial judgment and originality are required to correlate theoretical consideration with experience and to evolve appropriate compromises, and to plan and coordinate action promptly. Highly complex issues are considered in consultation with the Branch Chief.

### **FACTOR 4: COMPLEXITY**

The work involves planning and implementing a records management system, developing local procedures, where needed, overseeing maintenance of records and evaluating results and making adjustments.

Assignments often require the interpretation and implementation of policy, guidance, and program directives and may require modification of Agency guidance and standards to provide adequate management of records, paper and electronic documents. The incumbent must be able to have insight into particular program areas, be able to

demonstrate resourcefulness and ingenuity, to design novel solutions and approaches that will provide timely, accurate, and quality management of the Branch records and documents. The incumbent applies sound principles and analytical skills for complex situation and special assignments. The incumbent may also serves as a mentor to new and entry level staff, providing training and guidance, with respect to the preparation of routine responses.

#### **FACTOR 5: SCOPE AND EFFECT**

The work involves assignments that support the Branch's records, paper and electronic, management responsibilities in terms of organizing facility files and categorizing facility documents and records, carrying out the CBI program, and the overall managing of the Branch records. The incumbent must research the particular situation in terms of new technologies for records management, policy matters in terms of appropriateness of Agency policy and guidance, and propose alternatives and/or action plans. The work products affect a range of the Branch's program activities. The incumbent's work of protecting documents, assessing and carrying out quality, effective document and record management systems supports the Branch's efforts to preserve and restore the land and foster healthy communities and ecosystems and have efficient management systems. It also supports the Agency's commitment to a paperless office.

The purpose is to implement and maintains a records management system in the Branch. The work affects the accomplishments of the Air Enforcement and Compliance Assurance Branch. The incumbent manages the records system, advises management, trains users and assures the records management system meet the needs of the Branch.

#### **FACTOR 6: PERSONAL CONTACTS**

The employee has contact with Branch and Division staff and managers, and with his/her counterparts in other Divisions and Offices in Region 5 and sometimes Headquarters. Routinely, the incumbent has contact with respective technical staff regarding cataloguing and/or retiring facility documents, such as compliance monitoring documents, enforcement actions, response to information requests, and other technical and legal records. The incumbent may also have contact with his/her counterparts in EPA Headquarters and other EPA Regions and industry representatives. The incumbent attends Region 5 and national records management meetings and conferences as appropriate and funds are available.

#### **FACTOR 7: PURPOSE OF CONTACTS**

The purpose of the contacts is to discuss technical problems and/or issues related to records management, such as record retention, CBI procedures, or classification. Incumbent participates in meetings or conferences involving issues related to record management responsibilities and specific assignments. The majority of the contacts require skill in written and verbal communication.

#### **FACTOR 8: PHYSICAL DEMAND**

The work is sedentary. Typically, the incumbent may sit comfortably to do the work. However, the job does require the incumbent to regularly lift and carry light to medium



weight items such as papers, books, a file and/or box of files, etc. In addition, the job does routinely require walking and standing as well as bending, and lifting.

**FACTOR 9: WORK ENVIRONMENT**

The work is performed in an office setting.

